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PTO/SB/81 (11-04)  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	09/522,900
Filing Date	3/10/2000
First Named Inventor	McCormick et al.
Title	Self Antigen Vaccines for Treating B-Cell Lymphomas and Other Cancers
Art Unit	1642
Examiner Name	BLANCHARD, David J.
Attorney Docket Number	42200

I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:

☒

Practitioners associated with the Customer Number:

27860

OR

☐

Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒

The address associated with the above-mentioned Customer Number:

OR

☐

The address associated with Customer Number:

OR

☒

Firm or  
Individual Name

Large Scale Biology Corporation

Address

3333 Vaca Valley Parkway, Suite 1000

City

Vacaville

State

CA

Zip

95688

Country

USA

Telephone

(707) 446-5501

Fax

(707) 446-3917

I am the:


☐

Applicant/Inventor

☒

Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

**SIGNATURE of Applicant or Assignee of Record**

Signature		Date	1 Feb 05
Name	Thomas Gallegos	Telephone	(707) 446-5501
Title and Company	Sr. Director, Intellectual Property, Large Scale Biology Corporation		

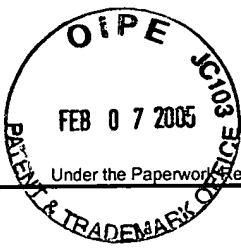
NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒

\*Total of 13 pages are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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PTO/SB/96 (09-04)  
Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Large Scale Biology Corporation

Application No./Patent No.: 09/522,900 Filed/Issue Date: 3/10/2000

Entitled: Self Antigen Vaccines for Treating B-Cell Lymphomas and Other Cancers

Large Scale Biology Corporation, a corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was in the United States Patent and Trademark Office at Reel 010854, Frame 0989, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Thomas Gallegos  
Signature

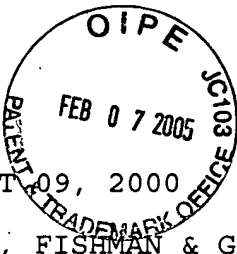
1/15/05  
Date

Thomas Gallegos  
Printed or Typed Name

(707) 446-5501  
Telephone Number

Sr. Director, Intellectual Property  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



UNITED STATES DEPARTMENT OF COMMERCE  
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ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

AUGUST 09, 2000

PTAS

RADER, FISHMAN & GRAUER  
SHMUEL LIVNAT, ESQ.  
1233 20TH STREET, N.W. SUITE 501  
WASHINGTON, D.C. 20036



\*101384700A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/15/2000

REEL/FRAME: 010854/0989  
NUMBER OF PAGES: 9

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MCCORMICK, ALISON A.

DOC DATE: 04/18/2000

ASSIGNOR:

TUSE, DANIEL

DOC DATE: 04/18/2000

ASSIGNOR:

REINL, STEPHEN J.

DOC DATE: 04/17/2000

ASSIGNOR:

LINDBO, JOHN A.

DOC DATE: 04/17/2000

ASSIGNOR:

TURPEN, THOMAS H.

DOC DATE: 04/17/2000

ASSIGNEE:

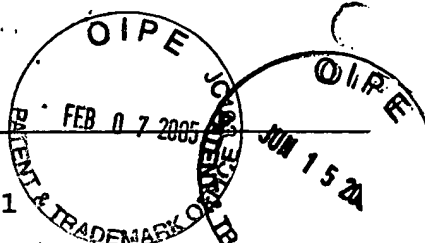
LARGE SCALE BIOLOGY CORPORATION  
3333 VACA VALLEY PARKWAY, SUITE  
1000  
VACAVILLE, CALIFORNIA 95688

010854/0989 PAGE 2

SERIAL NUMBER: 09522900  
PATENT NUMBER:

FILING DATE: 03/10/2000  
ISSUE DATE:

KIMBERLY WHITE, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



06-20-2000



101384700

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks

Final documents or copy thereof.

<p>1. Name of conveying party(ies) <b>615100</b></p> <p>(1) Alison A. McCormick, (2) Daniel Tusé, (3) Stephen J. Reinl, (4) John A. Lindbo, and (5) Thomas H. Turpen</p> <p>Additional name(s) of conveying party(ies) attached <u>No</u></p>	<p>2. Name and address of receiving party(ies)</p> <p>Name: <b>Large Scale Biology Corporation</b></p> <p>Internal Address:</p>
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<p>3. Nature of conveyance:</p> <p><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger</p> <p><input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name</p> <p>Other _____</p> <p>Execution Date: (1), (2) April 18, 2000; (3), (4), (5) April 17, 2000</p>	<p>Street Address: <b>3333 Vaca Valley Parkway, Suite 1000</b></p> <p>City: <b>Vacaville</b> State: <b>CA</b> Zip: <b>95688</b></p> <p>Additional name(s) &amp; address(es) attached <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
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<p>4. Application number(s) or patent number(s) <b>09/522,900</b></p> <p>If the document is being filed together with a new application, the execution date of the application is</p> <p>Additional numbers attached <u>No</u></p>	
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<p>5. Name and address of party to whom correspondence concerning document should be mailed:</p> <p>Name: <b>Shmuel Livnat, Esq.</b></p> <p>Internal Address: <b>RADER, FISHMAN &amp; GRAUER</b></p> <p><b>Suite 501</b></p> <p>Street Address: <b>1233 20<sup>th</sup> Street, NW</b></p> <p>City: <b>Washington, D.C.</b> Zip: <b>20036</b></p>	<p>6. Total number of applications and patents involved:..... <b>1</b></p> <p>7. Total fee (37 CFR 3.41)..... <b>\$ 40.00</b></p> <p><input type="checkbox"/> Enclosed</p> <p><input checked="" type="checkbox"/> Authorized to be charged to Deposit Account</p> <p>8. Deposit account number: <b>18-0013</b></p> <p>(Attach duplicate copy of this page if paying by deposit account)</p>
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<p>DO NOT USE THIS SPACE</p>	
<p>9. Statement and signature.</p> <p>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</p> <p><u>Shmuel Livnat</u></p> <p>Name of Person Signing</p>	<p><u>[Signature]</u></p> <p>Signature</p> <p><u>June 15, 2000</u></p> <p>Date</p> <p>Total number of pages comprising cover sheet <b>1</b></p>

06/16/2000 NLUNG 00000088 180013 09522900  
05 FC:581 40.00 CH

ASSIGNMENT

WHEREAS, I, as a below named inventor, residing at the address stated next to my name, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in SELF ANTIGEN VACCINES FOR TREATING B CELL LYMPHOMAS AND OTHER CANCERS for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, Large Scale Biology Corporation, located and doing business at 3333 Vaca Valley Parkway, Suite 1000 Vacaville, California 95688 (hereinafter referenced as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention; modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: Serial Number: 09/522,900, Filing Date: March 10, 2000.

This assignment executed on the dates indicated below.

Alison A. McCormick  
Name of first inventor Execution date of U.S. Patent Application

Vacaville, California  
Residence of first inventor

Alison A. McCormick 4-18-00  
Signature of first inventor Date of this assignment

Daniel Tusé  
Name of second inventor Execution date of U.S. Patent Application

Menlo Park, California  
Residence of second inventor

Daniel Tusé 4-18-00  
Signature of second inventor Date of this assignment

Stephen J. Reinl  
Name of third inventor Execution date of U.S. Patent Application

Sacramento, California  
Residence of third inventor

Stephen J. Reinl 4-17-00  
Signature of third inventor Date of this assignment

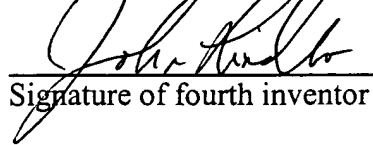
John A. Lindbo

Name of fourth inventor

Execution date of U.S. Patent Application

Vacaville, California

Residence of fourth inventor



Signature of fourth inventor

4-17-00

Date of this assignment

Thomas H. Turpen

Name of fifth inventor

Execution date of U.S. Patent Application

Vacaville, California

Residence of fifth inventor



Signature of fifth inventor

4/17/00

Date of this assignment



# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT



State of California

County of

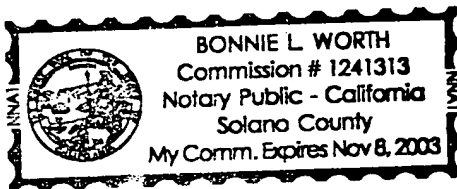
Solano

} ss.

On April 17 2000, before me, Bonnie L. Worth, Notary Public,  
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Stephen J. Reinl  
Name(s) of Signer(s)

- ☐ personally known to me  
☒ proved to me on the basis of satisfactory evidence



to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Bonnie L. Worth  
Signature of Notary Public

Place Notary Seal Above

## OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document

Title or Type of Document: Assignment Self Antigen Vaccine for Treating B Cell Lymphomas

Document Date: April 17, 2000 Number of Pages: 3

Signer(s) Other Than Named Above: Daniel Ture, Alison McCormick, Tom Ture, John Linds

### Capacity(ies) Claimed by Signer

Signer's Name: \_\_\_\_\_

- ☒ Individual  
☐ Corporate Officer — Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney in Fact  
☐ Trustee  
☐ Guardian or Conservator  
☒ Other: employee

Signer Is Representing: Employee of large Scale Biotech Corp

RIGHT THUMBPRINT  
OF SIGNER

Top of thumb here

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT



State of California

County of

Solano

SS.

On April 17, 2000, before me,

Date

Bonnie L. Worth, Notary Public

Name and Title of Officer (e.g., "Jane Doe, Notary Public")

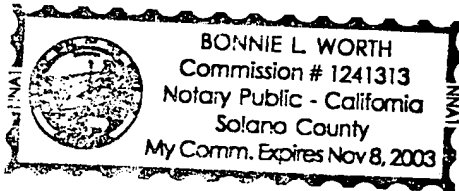
personally appeared

Thomas H. Treen

Name(s) of Signer(s)

☒ personally known to me

☐ proved to me on the basis of satisfactory evidence



to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Place Notary Seal Above

Bonnie L. Worth

Signature of Notary Public

## OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document

Title or Type of Document: Assignment & Patent filed March 10, 2000

Document Date: \_\_\_\_\_ Number of Pages: \_\_\_\_\_

Signer(s) Other Than Named Above: Daniel Tuse, Stephen Reinl, Arson McCormick, John Lindsay

### Capacity(ies) Claimed by Signer

Signer's Name: \_\_\_\_\_

☒ Individual

☐ Corporate Officer — Title(s): \_\_\_\_\_

☐ Partner — ☐ Limited ☐ General

☐ Attorney in Fact

☐ Trustee

☐ Guardian or Conservator

☐ Other: Employee of USC

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER

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# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT



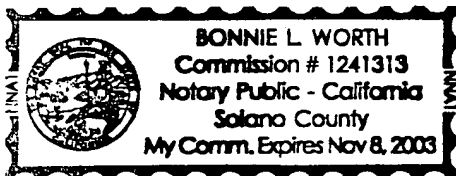
State of California

County of Solano } ss.

On April 17, 2003, before me, Bonnie L. Worth, Notary Public,  
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared John A. Linbo,  
Name(s) of Signer(s)

- ☒ personally known to me  
☐ proved to me on the basis of satisfactory evidence



to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Bonnie L. Worth  
Signature of Notary Public

Place Notary Seal Above

## OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document

Title or Type of Document: Assignment of Patent As Filed March 10, 2000

Document Date: \_\_\_\_\_ Number of Pages: 3

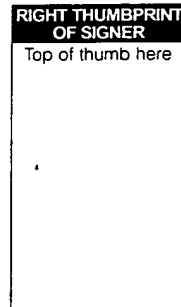
Signer(s) Other Than Named Above: Stephen Runk, Tom Turzon, Adam J. Wickham & Daniel Toms

### Capacity(ies) Claimed by Signer

Signer's Name: \_\_\_\_\_

- ☒ Individual  
☐ Corporate Officer — Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney in Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: As employee of USBC

Signer Is Representing: \_\_\_\_\_



# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT



State of California

County of

Solano

} ss.

On April 18, 2000, before me,

Date

Bonnie L. Worth Notary Public

Name and Title of Officer (e.g., "Jane Doe, Notary Public")

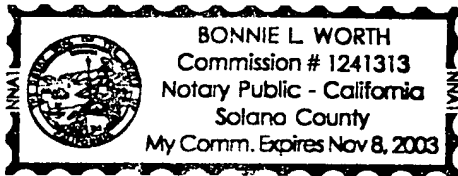
personally appeared

Daniel Tuse

Name(s) of Signer(s)

☐ personally known to me

☒ proved to me on the basis of satisfactory evidence



to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Bonnie L. Worth

Signature of Notary Public

Place Notary Seal Above

## OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document

Title or Type of Document: Assignment of Patent App filed 3-10-2000

Document Date: \_\_\_\_\_

Number of Pages: 3

Signer(s) Other Than Named Above: Alison McCormick, Stephen J Reul, John Lindber, Tom Tulpan

### Capacity(ies) Claimed by Signer

Signer's Name: Daniel Tuse

☐ Individual

☐ Corporate Officer — Title(s): \_\_\_\_\_

☐ Partner — ☐ Limited ☐ General

☐ Attorney in Fact

☐ Trustee

☐ Guardian or Conservator

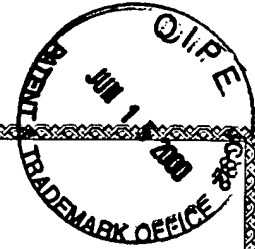
☐ Other: \_\_\_\_\_

Signer Is Representing: himself as employee of Large Scale Biology Corp

RIGHT THUMBPRINT  
OF SIGNER

Top of thumb here

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT



State of California

County of

Solano

} ss.

On April 18, 2000

Date

, before me,

Bonnie L. Worth Notary Public

Name and Title of Officer (e.g., "Jane Doe, Notary Public")

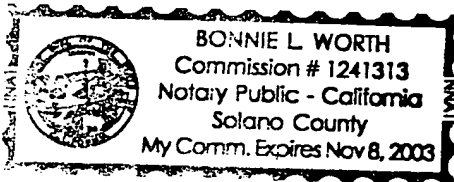
personally appeared

Alison A. McCormick

Name(s) of Signer(s)

☒ personally known to me

☐ proved to me on the basis of satisfactory evidence



to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Place Notary Seal Above

Bonnie L. Worth

Signature of Notary Public

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☐ Partner — ☐ Limited ☐ General

☐ Attorney in Fact

☐ Trustee

☐ Guardian or Conservator

☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

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OF SIGNER

Top of thumb here